

### CLAIM LISTING

The following is a complete listing of the claims currently pending in the application:

1. (Currently Amended) In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:

electronically receiving data in a corporate action processing system,  
wherein the data are associated with at least one corporate action of at least one of said entities,  
wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action, wherein the corporate action processing system includes an electronic server computer system and at least one electronic data storage medium;

electronically matching with the server at least a portion of said corporate action data to at least one client of the financial institution;

electronically generating with the server at least one notification including at least a portion of said corporate action data; ~~and~~,

electronically performing with the server at least one workflow management activity in connection with generating said notification including said corporate action data;

electronically designating with the server at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;

electronically establishing with the server said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

electronically updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

2. (Original) The method of Claim 1, further comprising maintaining at least a portion of said mandatory corporate action data in a designated new category pending an indication of review of said mandatory corporate action data.

3. (Original) The method of Claim 1, further comprising associating at least a portion of said corporate action data with a preparation date category.

4. (Original) The method of Claim 1, further comprising associating at least a portion of said mandatory corporate action data with at least one important date.

5. (Original) The method of Claim 1, further comprising associating at least a portion of said mandatory corporate action data with at least one meeting date.

6. (Original) The method of Claim 1, further comprising associating at least a portion of at least one of said mandatory corporate action data and said voluntary corporate action data with a missing information category.

7. (Original) The method of Claim 6, further comprising associating said missing information category with said portion of said mandatory corporate action information in connection with identifying at least one important date and rate information for said portion of said mandatory corporate action data.

8. (Original) The method of Claim 1, further comprising automatically releasing said corporate action data for notification after occurrence of said receiving said corporate action data.

9. (Original) The method of Claim 8, wherein said corporate action data includes at least mandatory corporate action data.

10. (Original) The method of Claim 1, further comprising designating at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status.

11. (Original) The method of Claim 10, further including establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data.

12. (Original) The method of Claim 11, further comprising updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data.

13. (Original) The method of Claim 10, further comprising recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

14. (Original) The method of Claim 1, further comprising identifying an eligibility calculation for application to said corporate action data.

15. (Original) The method of Claim 14, further comprising executing said eligibility calculation for said corporate action data.

16. (Original) The method of Claim 15, wherein said eligibility calculation includes a calculation selected from the group consisting of effective date, expiration date, record date, ex date, publication date, odd lot, and default.

17. (Original) The method of Claim 1, further comprising performing an inquiry regarding traded but not yet settled security transactions that affect eligibility associated with at least a portion of said corporate action data.

18. (Original) The method of Claim 1, further comprising projecting proceeds associated with at least a portion of said corporate action data.

19. (Original) The method of Claim 18, wherein said projecting said proceeds includes considering an amount of said proceeds expected to be received, considering a date on which said proceeds are expected to be received and posted, and considering a projection status.

20. (Original) The method of Claim 18, wherein said portion of said corporate action data includes mandatory corporate action data.

21. (Original) The method of Claim 20, further comprising basing said projection of said proceeds on at least one of an eligible position associated with said mandatory corporate action data and a rate associated with said mandatory corporate action data.

22. (Original) The method of Claim 18, wherein said portion of said corporate action data includes voluntary corporate action data.

23. (Original) The method of Claim 22, further comprising basing said projection of said proceeds on at least a responded position for an option associated with said voluntary corporate action data.

24. (Original) The method of Claim 18, further comprising generating at least one projection record in association with said projecting of said proceeds.

25. (Original) The method of Claim 24, further comprising associating at least one of said projection records with a projection status, said projection status selected from a group of statuses consisting of unable to calculate status, no response status, pending status, posted status, and deleted/terminated status.

26. (Original) The method of Claim 20, further comprising updating previously projected proceeds for said mandatory corporate action data.

27. (Original) The method of Claim 26, further comprising performing said updating of said previously projected proceeds in association with a change in an eligible position associated with said mandatory corporate action data.

28. (Original) The method of Claim 26, further comprising performing said updating of said previously projected proceeds in association with a change in a rate included within said mandatory corporate action data.

29. (Original) The method of Claim 1, further comprising linking a payment item with an active corporate action announcement associated with at least a portion of said corporate action data.

30. (Original) The method of Claim 1, further comprising establishing a new announcement associated with said corporate action data and linking a payment item to said new announcement.

31. (Original) The method of Claim 1, further comprising reconciling a payment item received in connection with at least a portion of said corporate action data against a proceeds amount projected for said portion of said corporate action data.

32. (Original) The method of Claim 1, further comprising processing at least one response received in connection with said corporate action data by updating a holders response table to reflect said response.

33. (Original) The method of Claim 32, further comprising updating at least one audit log record to reflect said updating of said holders response table.

34. (Original) The method of Claim 1, further comprising generating a response queue page having an interactive queue including at least one response processed in connection with said corporate action data.

35. (Original) The method of Claim 1, further comprising generating an end-of-the-day report including at least one response supplied in connection with said corporate action data and not acknowledged at the time of said generating of said end-of-the-day report.

36. (Original) The method of Claim 1, further comprising generating a daily response report for displaying a history of response activity in connection with said corporate action data for a given period of time.

37. (Original) The method of Claim 1, further comprising associating at least a portion of said mandatory corporate action data with at least one due bill period.

38. (Currently Amended) In a financial institution, a computer-readable medium including instructions for causing an electronic computer system to electronically perform ~~performing~~ a method for managing corporate action information of at least one entity, said medium comprising:

instructions for electronically receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;

instructions for matching at least a portion of said corporate action data to at least one client of the financial institution;

instructions for electronically generating at least one notification including at least a portion of said corporate action data; ~~and,~~



instructions for electronically performing at least one workflow management activity in connection with generating said notification including said corporate action data;

instructions for electronically designating at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;

instructions for electronically establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

instructions for updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

instructions for recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

39. (Currently Amended) In a financial institution, a system for managing corporate action information of at least one entity, said system comprising:

means for receiving data associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action;

means for matching at least a portion of said corporate action data to at least one client of the financial institution;

means for generating at least one notification including at least a portion of said corporate action data; and,

means for performing at least one workflow management activity in connection with generating said notification including said corporate action data;

means for designating at least one of said mandatory corporate action data and said voluntary means for corporate action data with a preliminary status;

means for establishing said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

means for updating said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and

means for recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

40. (Currently Amended) In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:

electronically receiving data in a corporate action processing system, wherein the data are associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action, wherein the corporate action processing system includes an electronic server computer system and at least one electronic data storage medium;

electronically matching with the server at least a portion of said corporate action data to at least one client of the financial institution;

electronically generating with the server at least one notification including at least a portion of said corporate action data;

electronically performing with the server at least one workflow management activity in connection with electronically generating said notification including said corporate action data;

electronically designating with the server at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;

electronically establishing with the server said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

electronically updating with the server said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

41. (Currently Amended) In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:

electronically receiving data in a corporate action processing system, wherein the date are associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action, wherein the corporate action processing system includes an electronic server computer system and at least one electronic data storage medium;

electronically matching with the server at least a portion of said corporate action data to at least one client of the financial institution;

electronically generating with the server at least one notification including at least a portion of said corporate action data;

electronically performing with the server at least one workflow management activity in connection with electronically generating said notification including said corporate action data;

maintaining at least a portion of said mandatory corporate action data in a designated new category pending an indication of review of said mandatory corporate action data;

electronically associating with the server at least a portion of said corporate action data with a preparation date category;

electronically associating with the server at least a portion of said mandatory corporate action data with at least one important date;

associating at least a portion of said mandatory corporate action data with at least one meeting date;

electronically associating with the server at least a portion of at least one of said mandatory corporate action data and said voluntary corporate action data with a missing information category;

electronically associating with the server said missing information category with said portion of said mandatory corporate action information in connection with identifying at

least one important date and rate information for said portion of said mandatory corporate action data; ~~and,~~

automatically releasing said corporate action data for notification after occurrence of said receiving said corporate action data, wherein said corporate action data includes at least mandatory corporate action data;

electronically designating with the server at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;

electronically establishing with the server said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

electronically updating with the server said preliminary status once said important date and said meeting date are associated with said mandatory corporate action data; and,

recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.

42. (Currently Amended) In a financial institution, a method for managing corporate action information of at least one entity, said method comprising:

electronically receiving data in a corporate action processing system, wherein the data are associated with at least one corporate action of at least one of said entities, wherein said corporate action data includes data associated with at least one of a voluntary corporate action and a mandatory corporate action, wherein the corporate action processing system includes an electronic server computer system and at least one electronic data storage medium;

electronically matching with the server at least a portion of said corporate action data to at least one client of the financial institution;

electronically generating with the server at least one notification including at least a portion of said corporate action data;

electronically performing with the server at least one workflow management activity in connection with generating said notification including said corporate action data;

electronically projecting with the server proceeds associated with at least a portion of said corporate action data, wherein said projecting said proceeds includes considering an amount of said proceeds expected to be received, considering a date on which said proceeds are expected to be received and posted, and considering a projection status, and wherein said portion of said corporate action data includes mandatory corporate action data and voluntary corporate action data;

basing said projection of said proceeds on at least one of an eligible position associated with said mandatory corporate action data and a rate associated with said mandatory corporate action data; ~~and~~,

basing said projection of said proceeds on at least a responded position for an option associated with said voluntary corporate action data;

electronically designating with the server at least one of said mandatory corporate action data and said voluntary corporate action data with a preliminary status;

electronically establishing with the server said preliminary status if at least an important date and a meeting date are not associated with said mandatory corporate action data;

electronically updating said preliminary status with the server once said important date and said meeting date are associated with said mandatory corporate action data; and,  
recycling at least one announcement associated with said mandatory corporate action data for identifying at least one new holder associated with said mandatory corporate action data.